## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: DIETER W. POHL ET AL. Docket No .:

Serial No.: 09/904286

Examiner

Filed

Art Unit

For

: METHOD AND APPARATUS FOR THE CONTROLLED

CONDITIONING OF SCANNING PROBES

900 Chapel Street

Suite 1201

New Haven, CT 06510-2802

## INFORMATION DISCLOSURE STATEMENT

Hon. Commissioner of Patents and Trademarks United States Patent & Trademark Office Washington, D.C. 20231

Dear Sir:

In accordance with the requirements of 37 C.F.R. 1.97 and 1.98, Applicants hereby submit the prior art documents listed hereinbelow, copies enclosed, which prior art was cited in the corresponding European Search Report.

(1) U.S. Patent No. 5,038,034 for SCANNING TUNNELING MICROSCOPE, By Shigeto Fujita, Patented August 6, 1991. This reference discloses a scanning tunneling microscope which is arranged to cause a tunneling current to flow through a gap between a specimen and a probe housed in a

vacuum chamber, and is provided with a working arrangement for reshaping the probe.

- (2) U.S. Patent No. 5,548,117 for PROBE FOR A SCANNING TUNNELING MICROSCOPE AND METHOD OF MANUFACTURING A PROBE, By Tohru Nakagawa, Patented August 20, 1996. This reference discloses a probe for use in a scanning tunneling microscope which can measure a macromolecule, i.e., a protein molecule.
- ELECTRON BEAMS FOR FABRICATING A SENSOR ON A PROBE TIP USED FOR SCANNING MULTIPROBE MICROSCOPY AND THE LIKE, By Arunava Majumdar et al., Patented November 17, 1998. This reference discloses nanometer holes which can be reliably and repeatedly defined in the tips of cantilevered probes and used in various types of scanning multiprobe microscopy by defining the hole within a layer disposed on the tip using focused electron or ion beams.
- (4) U.S. Patent No. 5,686,207 for METHOD OF FORMING AND REPAIRING A MASK FOR PHOTOLITHOGRAPHY, By Masayuki Suda et al., Patented November 11, 1997. This reference discloses a method of forming a mask for photolithography which

comprises forming a transparent conductive film on a transparent substrate.

The undersigned submits the above-identified references for independent consideration by the Examiner and does not make any admission that these references are or are not material to the present invention or that these references are or are not prior art with respect to the present invention.

If any charges are required in connection with this submission, it is requested that they be charged to Deposit Account No. 02-0184.

I hereby critisy that this correspondence is being deposited with the United States Postal Service as Express Mail in an envelope addressed to:Commissioner of Patents and Trademarks, Washington, D.C. 20231

July 12, 200 (Date of Deposit) Antoinette Sullo Express Mail Label No. EL394336106US Respectfully submitted,

DIETER W. POHL ET AL.

o6US

Robert H. Bachman

Attorney for Applicants

Area Code: 203

Telephone: 777-6628 Telefax : 865-0297

Date: July 12, 2001

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

		 			,
toot	4		of	4	

	Complete if Known	<u>ئ</u> م.
Application Number		S
Filing Date		
First Named Inventor	DIETER W. POHL	
Group Art Unit		
Examiner Name		<del></del> }
Attorney Docket Number	01-406	

			U.S. PATENT DOCUM	MENTS		
Examiner Cite No.1		U.S. Patent Document  Number Kind Code <sup>2</sup> (If known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Rele Passages or Relevant Figures Appear	
		5,038,034	FUJITA	08-06-1991		
		5,548,117	NAKAGAWA	08-20-1996		
		5,838,005	MAJUMDAR ET AL.	11-17-1998		
		5,686,207	SUDA ET AL.	11-11-1997		
			I			

				FOREIG	N PATENT DOCU	IMENTS		
Examiner	Cite Foreign Patent Document		ocument	Name of Patentee	Date of Publication of	Pages, Columns, Lines,		
Initials*	No.1	Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (If known)	or Applicant of Cited Document	Cited Document MM-DD-YYYY	Where Relevant Passages or Relevant Figures Appear	T <sub>6</sub>
		<del>                                     </del>	<b></b>					
ļ		<del> </del>			<u> </u>			
		<del> </del>			7.4			
		<del> </del>		-	7-7-2		····	
		1.						

Examiner Da Co
----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WiPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark hee if English language Translation is attached.